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AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA

[Submissions must be unclassified and typewritten, and reach the information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

Ť.	Enter the Fiscal Year that this report covers. 2004		
2.	identify the Department, Independent agency or establishment that is covered by this report. Securities and Exchange Commission		
3.	Enter the name, title, address, phone, fax, and email address of the Senior Agency Official (as defined in EO 12958, as ame Section 5.4(d)) responsible for this report. James M. McConnell, Executive Securities and Exchange Commission	nded.	
	Washington, D.C. 20549		
4.	Enter the name, title, phone, fax and email address for the point-of-contact responsible for answering questions about this reported by the price of the point-of-contact responsible for answering questions about this reported by the price of the point-of-contact responsible for answering questions about this reported by the price of the point-of-contact responsible for answering questions about this reported by the point-of-contact responsible for answering questions about this reported by the point-of-contact responsible for answering questions about this reported by the point-of-contact responsible for answering questions about this reported by the point-of-contact responsible for answering questions about this reported by the point-of-contact responsible for answering questions about this reported by the point-of-contact responsible for answering questions about this reported by the point-of-contact responsible for answering questions about this reported by the point-of-contact responsible for answering questions about this reported by the point-of-contact responsible for answering questions are proved by the point-of-contact responsible for answering questions about this reported by the point-of-contact responsible for answering questions are proved by the point-of-contact responsible for answering question and proved by the point-of-contact responsible for answering question and proved by the point-of-contact responsible for answering question and proved by the point-of-contact responsible for answering question and proved by the point-of-contact responsible for answering question and proved by the point-of-contact responsible for answering question and proved by the point-of-contact responsible for answering question and proved by the point-of-contact responsible for answering question and proved by the point-of-contact responsible for an answering question and proved by the point-of-contact responsible for an answering question and proved by the point-of-contact responsible for an analysis of the point-o	port.	
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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

NDARD FORM 311 (REV 11-03) Prescribed by NARA/1500 32 CFR 2001.80 E.O. 12956





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1. Enter the Fiscal Year that this report covers. 2004	
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29. Enter the number of requested pages that were declassified in full.	0
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37. Enter the number of pages reviewed during the reporting period that were subject to declassification under Sections 3.3 & 3.4, EO12958, as amended.	37. 0
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39. Enter the number of inspections, surveys, or program reviews, covering any aspect of the security classification program, completed during the reporting period.	39. 0
 Enter the number of internal challenges processed by your agency to the classification of information believed to be improperly classified or unclassified. (See EO 12958 as amended, Section 1.8) 	40. 0
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The SEC is primarily a holder of classified information.

AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA missions must be unclassified and typewritten, and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.) PARTA Identifying Information Enter the Fiscal-Year-that this report covers-Fiscal 2005 Identify the Department, Independent agency or Establishment that is covered by this report. Securities and Exchange Commission Enter the name, title, address, phone, fax, and email address of the Senior Agency Official (as defined in EO 12958, as amended, Section 5.4(d)) responsible for this report. James M. McConnell, Executive Director (202) 551-4300 (Voice) Securities and Exchange Commission 100 F St., N.E., Wash., D.C. 20549 (202) 777-1025 (Fax) Enter the name, title, phone, fax and email address for the point-of-contact responsible for enswering questions about this report. Darlene Pryor, Management Analyst Office of the Executive Director Securities and Exchange Commission (Voice) (202) 777-1025 (Fax) 100 F St., N.E., Wash., D.C. 20549 PARTIB: Officials with Original Classification Authority Enter the number of agency officials whose highest level of original classification authority is TOP SECRET. 0 Enter the number of agency officials whose highest level of original classification authority is SECRET. 6 0 Enter the number of agency officials whose highest level of original classification authority is CONFIDENTIAL. 7. 0 Total number of officials with original classification authority. (Sum of blocks 5, 6, & 7) PARTIC Original Classification Decisions in all classification Decisions in all classification is an initial determination that the information to be classified by an original classification authority (2) the information is owned by fundood by an emment; (3) it falls infoat least one of the categories found a Section (4.0) 2032 assumed and (4.4) in the categories of the emment; (3) if tells into at least one of the reference found of Section 14.04 On 2958 as a mended and (4) in sected to result in damage to the national security? [Provide Information only on classification deep one contents of the media. Do not count reproductions of copies [W. 1994]. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification 0 instructions of 10 years or less. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification 10. instructions ranging from over 10 years to 25 years. ٥ Total number of TOP SECRET original classification decisions. (Sum of blocks 9 & 10) Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less. 0 Enter the number of original SECRET classification decisions made during the reporting period with declassification 13 instructions ranging from over 10 years to 25 years. 0 Total number of SECRET original classification decisions. (Sum of blocks 12 & 13) Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with 15. declassification instructions of 10 years or less. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with 16. declassification instructions ranging from over 10 years to 25 years. 0 Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 & 16) Total number of original classification decisions. (Sum of blocks 11, 14, & 17) PART D: Derivative Classification Decisions vative classification is the incorporating; paraphrasing; restating or generating in new form incorporating that is already classified. It tasking the provide information only on derivative classification decisions contained in finished then, regardless of the media. Do not count reproductions or copies.] Enter the number of derivative TOP SECRET classifications during the reporting period. 19 20. Enter the number of derivative SECRET classifications during the reporting period. 0 Enter the number of derivative CONFIDENTIAL classifications during the reporting period. 21.

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39. Enter the number of inspections, surveys, or program reviews, covering any aspect of the security classification program, completed during the reporting period.	^{39.} 1
40. Enter the number of challenges processed by your agency to the classification of information believed to be improperly classified or unclassified. (See EO 12958 as amended, Section 1.8)	40. C
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The SEC has limited involvement with classified material. SEC is primarily a holder of classified information.

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1.	Enter the Fiscal Year that this report covers.		
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	Securities and Exchange Commission		
3,	Enter the name, title, address, phone, fax, and email address of the Senior Agency Official (as defined in 50 12956, as sme Section 5.4(d)) responsible for this report.	nced,	
	Diego T. Ruiz, Executive Director		
	202-551-4300 (phone); 202-777-1025 (fax) ExecDir@sec.gov		
4.	Enter the name, title, phone, fax and empil address for the point-of-contact responsible for answering questions about this re-	port.	
	Darlene L. Pryor, Management Analyst		
	(phone); 202-777-1025 (fax)		
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	PART B: Officials with Original Glass (fleation Authority	· · · · · · · · · · · · · · · · · · ·	7
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Government, (3) it falls into at least one of the categories found in Section 1.4 of EO 12858; as amended, and (4) unsufficient disclosure could respond to the categories found in Section 1.4 of EO 12858; as amended, and (4) unsufficient authorities of the categories found in Section 1.4 of EO 12858; as amended, and (4) unsufficient authorities of the categories found in Section 1.4 of EO 12858; as amended, and (4) unsufficient authorities of the categories found in Section 1.4 of EO 12858; as amended, and (4) unsufficient authorities of the categories of expected to result in damage to the national security. [Provide information only on classification decisions contained in finished products for dissemination of retaining, replaced on the friends. Do not count reproductions of copies.] Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less. 0 10, 10. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years. D 11. 11, Total number of TOP SECRET original classification decisions. (Sum of blocks 9 & 10) 0 -3 12. Enter the number of original SECRET classification decisions made during the reporting period with declassification 12. instructions of 10 years or less. 0 13. 13. Enter the number of original SECRET classification decisions made during the reporting period with declassification Instructions ranging from over 10 years to 25 years. 14. Total number of SECRET original classification decisions. (Sum of blocks 12 & 13) 14. 0 15 15. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions of 10 years or less. 0 16. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with 16. declassification instructions ranging from over 10 years to 25 years. n 17, Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 & 16) 17. 0 18 18. Total number of original classification decisions. (Sum of blocks 11, 14, & 17) n PART D: Derivative Classification Decisions Derivative classification is the incorporating, paraphrasing, restating, or generating in new form information that is already classified. This includes classification based on destination guides or other source documents. [Provide information only on derivative classification decisions contained in finished products for dissemination or retention, regardless of the media. Do not count reproductions or copies.] 19. Enter the number of derivative TOP SECRET classifications during the reporting period. 0 20. 20. Enter the number of derivative SECRET classifications during the reporting period. 0 21. 21. Enter the number of derivative CONFIDENTIAL classifications during the reporting period. 0 22. 22. Total number of derivative classification decisions. (Sum of blocks 19, 20, & 21)

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(Submissions must be unclassified and hypewritten, and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.) PART A: Identifying Information 1. Enter the Fiscal Year that this report covers. 2. Identify the Department, Independent agency or Establishment that is covered by this report. U. S. Securities and Exchange Commission 3. Enter the name, title, address, phone, fax, and email address of the Senfor Agency Official (as defined in EO 12958, as amended, Section 5.4(d)) responsible for this report. Diego T. Ruiz, Executive Director (office); 202-777-1025 (fax) (b)(6)ExecDir @sec.gov 4. Enter the name, title, phone, fax and email address for the point-of-contact responsible for answering questions about this report. Carl Schilling, Program Manager (office); 202-777-1025 (fax) @sec.gov PART B: Officials with Original Classification Authority 5. Enter the number of agency officials whose highest level of original classification authority is TOP SECRET. 5. 0 6. Enter the number of agency officials whose highest level of original classification authority is SECRET. 6. 0 7. Enter the number of agency officials whose highest level of original classification authority is CONFIDENTIAL. 7. ٥ 8. Total number of officials with original classification authority. (Sum of blocks 5, 6, & 7) n PART C: Original Classification Decisions Original classification is an initial determination that the information to be classified has not been previously classified by any other authority. It also meets the following conditions: (1) it was classified by an original classification authority; (2) the information is owned by, produced by or for, or is under the control of the United States.

Government; (3) it falls into at least one of the categories found in Section 1.4 of EO 12958, as amended; and, (4) unauthorized disclosure could reasonably be superated to result in damage to the national security. [Provide Information only on dessification decisions contained in finished products for dissemination or retention, regardless of the media. Do not count reproductions or copies. 9. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less. D 10. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification 10. Instructions ranging from over 10 years to 25 years. 11. Total number of TOP SECRET original classification decisions, (Sum of blocks 9 & 10) 11. 0 12. Enter the number of original SECRET classification decisions made during the reporting period with declassification 12. 0 instructions of 10 years or less 13. Enter the number of original SECRET classification decisions made during the reporting period with declassification 13. instructions ranging from over 10 years to 25 years. Ô 14. Total number of SECRET original classification decisions. (Sum of blocks 12 & 13) 14. 0 15. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with 15. declassification instructions of 10 years or less. Ð 16. 16. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years. ٥ 17. Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 & 16) 17. 0 18. Total number of original classification decisions. (Sum of blocks 11, 14, & 17) 18. Λ PART D: Derivative Classification Decisions Derivative classification is the incorporating, paraphrasing, restating, or generating in new form information that is already classified. This includes classification based on classification guides or other source documents. [Provide Information only on derivative classification decisions contained in finished products for dissemination or retention, regardless of the media. Do not count reproductions or copies.] 19. Enter the number of derivative TOP SECRET classifications during the reporting period. 0 20. Enter the number of derivative SECRET classifications during the reporting period. 21. Enter the number of derivative CONFIDENTIAL classifications during the reporting period. 21. 0 22. Total number of derivative classification decisions. (Sum of blocks 19, 20, & 21) 22.

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PART E: Mandatory Declassification Review Requests and Appeals	
A 'request' is an individual review request or appeal, regardless of the number of documents or pages to be reviewed as part of	
Report only requests for your agency in which your agency is responsible for the final decision. Please provide an explanative where the number of requests or appeals carried forward between reporting periods changes.	on in Part I below
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29. Enter the number of requested pages that were declassified in full.	29.
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PART G: Automatic Declassification and Systematic Review	1 99
 Enter the number of pages reviewed during the reporting period that were subject to declassification under Sections 3.3 & 3.4. EO12958, as amended. 	37.
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UNITED STATES SECURITIES AND EXCHANGE COMMISSION WASHINGTON, D.C. 20549

November 15, 2010

Mr. William J. Bosanko
Director
Information Security Oversight Office
National Archives and Records Administration
700 Pennsylvania Avenue, N.W.
Washington, D.C. 20408

Dear Mr. Bosanko:

As you have requested pursuant to Executive Order 13526, "Classified National Security Information," and its implementing directive, 32 C.F.R. Part 2001, enclosed you will find the United States Securities and Exchange Commission's ("Commission") fiscal year 2010 statistical report of security classification management data. The scope of the Commission's involvement with classified material is limited primarily to that of a holder of classified information.

Questions concerning this report should be directed to Carl J. Schilling, who is reachable as follows: U. S. Securities and Exchange Commission, 100 F Street, NE, Washington, D.C. 20549 (phone: [0](6) email: (b)(6) asec.gov).

Very truly yours,

Diego T. Ruiz Executive Director

Enclosure

(Submissions must be unclassified and reach the information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

PARTA: (DENTIEYING	INFORMATION	
1. Enter the FISCAL YEAR this report covers.	•	2010
2, Enter the DEPARTMENT or AGENCY covered by this report.	U. S. Securities and Exchange Corr	mission (SEC)
3. Enter the name, title, address, phone, fax, and e-mail address of the SENIOR AGENCY OFFICIAL (as defined in E.O. 13526, section 5.4(d)).	Diego T. Ruíz Executive Director 100 F Street NF	1
4. Enter the name, title, phone, fax, and e-mail address for the POINT OF CONTACT responsible for answering questions about this report.	Carl Schilling Program Manager (b)(6)	
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5. Enter the number of agency officials whose highest level of original cit	assification authority is TOP SECRET.	0
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40. Enter the nu	rmber of pages declassified ur	nder section 3.4 of E.O. 13526.		0
41. Enter the nu E.O. 13526.	mber of pages reviewed that	were subject to discretionary declassification under section	1 3.1 of	0
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Fiscal Year	2010	Department or Agency	SEC
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AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA (Submissions must be unclassified and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.) PART A: IDENTIFYING INFORMATION 2011 1. Enter the FISCAL YEAR this report covers. US Securities and Exchange Commission 2. Enter the DEPARTMENT or AGENCY covered by this report. William J Fagan, Chief of Security 3. Enter the name, title, address, phone, fax, and e-mail address of the 100 F ST NE, Washington, DC 20549 SENIOR AGENCY OFFICIAL (as defined in E.O. 13526, section 5.4(d)). + (b)(6)(b)(6) <u>Seec cov</u> Laura Bennett, Security Specialist 4. Enter the name, title, phone, fax, and e-mail address for the POINT OF CONTACT responsible for answering questions about this report. @sec.gov PART B: OFFICIALS WITH ORIGINAL CLASSIFICATION AUTHORITY S. Enter the number of agency officials whose highest level of original classification authority is TOP SECRET. 6. Enter the number of agency officials whose highest level of original classification authority is SECRET. 7. Enter the number of agency officials whose highest level of original classification authority is CONFIDENTIAL 8. Total number of officials with original classification authority. (Sum of blocks 5, 6, and 7) PART C: ORIGINAL CLASSIFICATION DECISIONS Original classification is an initial determination that the information to be classified has not been previously classified by any other authority. It also meets the following conditions: (1) It was classified by an original classification authority; (2) the information is owned by or for, or is under the control of the United States Government; (3) It falls into at least one of the categories found in section 1.4 of E.O. 13526; and (4) unauthorized disclosure could reasonably be expected to result in damage to the national security. (Provide information on all classification decisions, regardless of the media, including those documented and disseminated via e-mail. Do not count reproductions or copies.) 9. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less. 10. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years. 11, Total number of TOP SECRET original classification decisions. (Sum of blocks 9 and 10) 12. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less. 13. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years. 14. Total number of SECRET original classification decisions. (5um of blocks 12 and 13) 15. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions of 10 years or less. 16. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years. 17, Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 and 16) 18. Total number of original classification decisions. (Sum of blocks 11, 14, and 17) PART D: DERIVATIVE CLASSIFICATION DECISIONS Derivative classification is the incorporating, paraphrasing, restating, or generating in new form information that is already classified. This includes classification based on classification guides or other source documents. (Provide information on all classification decisions, regardless of the media, including those documented and disseminated via e-mail. Do not count reproductions or copies.) 19. Enter the number of derivative TOP SECRET classification decisions during the reporting period. 20. Enter the number of derivative SECRET classification decisions during the reporting period. 21. Enter the number of derivative CONFIDENTIAL classification decisions during the reporting period. ١٥

22, Total number of derivative classification decisions. (Sum of blocks 19, 20, and 21)

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A "request" is a request. Repo	an individual initial review req art only requests for your agen	ORY DECLASSIFICATON REVIEW REQUESTS AND AP uest or appeal, regardless of the number of documents or pag- cy in which your agency is responsible for the final decision. P ber of requests or appeals carried forward between reporting p	es to be reviewed as part of the lease provide an explanation in
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29. Enter the n	umber of requested pages th	at were declassified in full.	
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35. Enter the number of appealed pages that were denied declassification.			
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		PART I: CLASSIFICATION GUIDES	

47. Enter the number of security classification guides created by your agency and currently in use.

Fiscal Year	2011	Department or Agency	US Securities and Exchange
		PART J: EXPLANATORY COMMENTS	
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(Submissions must be unclassified and reach the information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

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2. Enter the DEPARTMENT or AGENCY covered by this report.	US Securities and Exchange Comm	ission
3. Enter the name, title, address, phone, fax, and e-mail address of the SENIOR AGENCY OFFICIAL (as defined in E.O. 13576, section 5.4(d)).	William J Fagan, Chief of Security 100 F ST NE, Washington, DC 20549 (b)(6)	·
4. Enter the name, title, phone, fax, and e-mail address for the POINT OF CONTACT responsible for answering questions about this report.	Laura Bennett, Security Specialist (b)(6) @sec.gov	
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5. Enter the number of agency officials whose highest level of original cla	assification authority is TOP SECRET.	
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	gAnterial restricted control of the	
43. Enter the number of inspections, survey the security classification program, comple	rs, or program reviews conducted by your agency, covering any aspect of ted during the reporting period.	2
44. Enter the number of challenges process improperly classified or unclassified. (E.O. 1	ed by your agency to the classification of information believed to be "	0
45. Enter the number of challenges where t	he classification status was fully affirmed.	0
46. Enter the number of challenges where t	he classification status was overturned in whole or in part.	0
	PAHALEUASSILICANICASCUBIAS 22	
47. Enter the number of security classificati	on guides created by your agency and currently in use.	1

Fiscal Year	2012		Department or Agency	US Securities and Exchange
		A SPART	HABARENUS IO VAGONINEN ESPERA	
any significant ch	anges in trends.	,	more space is needed, provide as an attachment ious year's report. Additionally, select the samplii	
developing this y				
Sampling Per 2-Week	rìod:			
4-Week				
8-Week	- 1			
One Year Multiplier Ap	_ splied:			
None	, pii. cu.			
Other (Specify	› _			

AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA (Submissions must be unclassified and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

	Information		
1. Enter the Fiscal Year that this report covers.	<u> </u>	3.	2013
Identify the Department, Independent agency, or Establishment that is covered by this report.	2. Securities and	Exchange Co	mmission
3. Enter the name, title, address, phone, fax, and e-mail address of the Senior Agency Official (as defined in E.O. 13526, section 5.4(d)) responsible for this report.	3. Burry Walters, Checator of OSO/Chief FOIA Officer 100 F Steam No. Wednington DC 20549 (b) (6) / (b) / (c) proper Among por		
4. Enter the name, title, phone, fax, and email address for the point-of-contact responsible for answering questions about this report.	Cabric Days begs. Class of Security Sanfaces [15] (G) (15) / Pace gaw		
PART B: Officials with Original	Classification Authority		
5. Enter the number of agency officials whose highest level of original classifier	ation authority is TOP SECRET.	5.	NΛ
6. Enter the number of agency officials whose highest level of original classific	ation authority is SECRET.	6.	NA
7. Enter the number of agency officials whose highest level of original classifications and the second seco	ation authority is CONFIDENTIAL.	7.	NA
8. Total number of officials with original classification authority. (Sum of block	ss 5, 6, & 7)	8.	0
meets the following conditions: (1) it was classified by an original classification control of the United States Government; (3) it falls into at least one of the categord reasonably be expected to result in damage to the national security. (Provide media, including those documented and disseminated via email. Do not court to the media, including those documented and disseminated via email.	ories from section 1.4 of E.O. 13526; and (4) in ide information on all original classification do nt reproductions or copies.)	unauthorized (disclosure
 Enter the number of original TOP SECRET classification decisions made declassification instructions of 10 years or less. 	uring the reporting period with	9.	0
10. Enter the number of original TOP SECRET classification decisions made during the reporting period with		10.	0
declassification instructions ranging from over 10 years to 25 years.			
11. Total number of TOP SECRET original classification decisions. (Sum of	DIUCKS 7 to 101.	11.	n l
			0
12. Enter the number of original SECRET classification decisions made during instructions of 10 years or less.	the reporting period with declassification	12.	. 0
instructions of 10 years or less. 13. Enter the number of original SECRET classification decisions made during	the reporting period with declassification	12.	
instructions of 10 years or less.	the reporting period with declassification the reporting period with declassification		. 0
 instructions of 10 years or less. 13. Enter the number of original SECRET classification decisions made during instructions ranging from over 10 years to 25 years. 14. Total number of SECRET original classification decisions. (Sum of blocks 15. Enter the number of original CONFIDENTIAL classification decisions may 	the reporting period with declassification the reporting period with declassification (\$12 & 13)	13.	0
 instructions of 10 years or less. 13. Enter the number of original SECRET classification decisions made during instructions ranging from over 10 years to 25 years. 14. Total number of SECRET original classification decisions. (Sum of blocks 15. Enter the number of original CONFIDENTIAL classification decisions madeclassification instructions of 10 years or less. 16. Enter the number of original CONFIDENTIAL classification decisions madeclassification decisions madeclassification decisions madeclassification decisions madeclassification decisions made during the property of the property	the reporting period with declassification to the reporting period with declassification to 12 & 13) and during the reporting period with	13.	0
instructions of 10 years or less. 13. Enter the number of original SECRET classification decisions made during instructions ranging from over 10 years to 25 years. 14. Total number of SECRET original classification decisions. (Sum of blocks 15. Enter the number of original CONFIDENTIAL classification decisions madeclassification instructions of 10 years or less.	the reporting period with declassification the reporting period with declassification 12 & 13) add during the reporting period with the declaring the reporting period with	13,	0 0
instructions of 10 years or less. 13. Enter the number of original SECRET classification decisions made during instructions ranging from over 10 years to 25 years. 14. Total number of SECRET original classification decisions. (Sum of blocks 15. Enter the number of original CONFIDENTIAL classification decisions madeclassification instructions of 10 years or less. 16. Enter the number of original CONFIDENTIAL classification decisions madeclassification instructions ranging from over 10 years to 25 years.	the reporting period with declassification the reporting period with declassification 12 & 13) add during the reporting period with add during the reporting period with of blocks 15 & 16)	13, 14. 15.	0 0 0 0 0
instructions of 10 years or less. 13. Enter the number of original SECRET classification decisions made during instructions ranging from over 10 years to 25 years. 14. Total number of SECRET original classification decisions. (Sum of blocks 15. Enter the number of original CONFIDENTIAL classification decisions madeclassification instructions of 10 years or less. 16. Enter the number of original CONFIDENTIAL classification decisions madeclassification instructions ranging from over 10 years to 25 years. 17. Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 11, 14, & PART D: Derivative Classification is the incorporating, paraphrasing, restating, or generatic classification based on classification guides or other source documents. (Provide	the reporting period with declassification the reporting period with declassification 12 & 13) add during the reporting period with add during the reporting period with af blocks 15 & 16) 17) ification Decisions ag in new form information that is already classification decisions, re-	13. 14. 15. 16. 17. 18.	0 0 0 0 0
instructions of 10 years or less. 13. Enter the number of original SECRET classification decisions made during instructions ranging from over 10 years to 25 years. 14. Total number of SECRET original classification decisions. (Sum of blocks 15. Enter the number of original CONFIDENTIAL classification decisions madeclassification instructions of t0 years or less. 16. Enter the number of original CONFIDENTIAL classification decisions madeclassification instructions ranging from over 10 years to 25 years. 17. Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 11, 14, & PART D: Derivative Classification is the incorporating, paraphrasing, restating, or generatic classification based on classification guides or other source documents. (Provide including those documented and disseminated via email. Do not count reproduc	the reporting period with declassification the reporting period with declassification to 12 & 13) to de during the reporting period with the declassification decisions the reporting period with the following the reporting	13. 14. 15. 16. 17. 18.	0 0 0 0 0
 Instructions of 10 years or less. 13. Enter the number of original SECRET classification decisions made during instructions ranging from over 10 years to 25 years. 14. Total number of SECRET original classification decisions. (Sum of blocks of the classification instructions of the years or less.) 15. Enter the number of original CONFIDENTIAL classification decisions madeclassification instructions of the years or less. 16. Enter the number of original CONFIDENTIAL classification decisions madeclassification instructions ranging from over 10 years to 25 years. 17. Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 11, 14, & PART D: Derivative Classification is the incorporating, paraphrasing, restating, or generatic classification based on classification guides or other source documents. (Provide including those documented and disseminated via email. Do not count reproducted.) 19. Enter the number of derivative TOP SECRET classification decisions maded. 	the reporting period with declassification the reporting period with declassification 12 & 13) Indeed during the reporting period with Indeed during the reporting during the reporting period.	13. 14. 15. 16. 17. 18. ssified. This egardless of the	0 0 0 0 0 0 0 0 includes c mediu.
instructions of 10 years or less. 13. Enter the number of original SECRET classification decisions made during instructions ranging from over 10 years to 25 years. 14. Total number of SECRET original classification decisions. (Sum of blocks 15. Enter the number of original CONFIDENTIAL classification decisions madeclassification instructions of t0 years or less. 16. Enter the number of original CONFIDENTIAL classification decisions madeclassification instructions ranging from over 10 years to 25 years. 17. Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 11, 14, & PART D: Derivative Classification is the incorporating, paraphrasing, restating, or generatic classification based on classification guides or other source documents. (Provide including those documented and disseminated via email. Do not count reproduc	the reporting period with declassification the reporting period with declassification to 12 & 13) ade during the reporting period with ade during the reporting period with a of blocks 15 & 16) 17) iffication Decisions ag in new form information that is already classification decisions, retions or copies.) le during the reporting period. ing the reporting period.	13, 14. 15. 16. 17. 18. ssified. This gardless of the 19.	0 0 0 0 0 0 0 o tincludes c media.

PART I: Explanatory Comments				
Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report.				
Part H, #51: The SEC uses DoD 5200.1-PH for classification guidance, http://www.dtic.mil/dtic/pdf/customer/STINFOdata/DoD5200_1ph.pdf				
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For ISOO Use Only		
ISOO Analyst Name:	A.S. Lutt	
Date of QC:	12/16/2013	
Analyst Initials:	- POC	,



united states SECURITIES AND EXCHANGE COMMISSION WASHINGTON, D.C. 20549

November 17, 2014

MEMORANDUM FOR:

John P. Fitzpatrick

Director, Information Security Oversight Office National Archives and Records Administration

Barry O Walters

FROM:

Barry D. Walters

Director

Office of Support Operations

SUBJECT:

Annual Agency Security Classification Management Program Data

This memorandum accompanies the United States Securities and Exchange Commission's (SEC's) Agency Security Classification Management Program Data submission. This memorandum and the accompanying attachment constitute my submission as the Senior Agency Official's (SAO's) annual report to the Director of the Information Security Oversight Office (ISOO) on behalf of the SEC as required under E.O. 13526, "Classified National Security Information" (CNSI) and its implementing directive 32 CFR Part 2001.

I endorse the enclosure reporting the agency's statistics regarding security classification. The SEC does not have any deviations to report from previous submissions.

I welcome any comments or questions ISOO may have. The point of contact for this memorandum is Cedric Watson, Branch Chief, Physical Security Operations at (b)(6)

Attachment: Agency Security Classification Management Program Data (SF 311)

(Submissions must be unclassified and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

PART A: Identifying	lpformation		
1. Enter the Fiscal Year that this report covers.		1.	2014
2. Identify the Department, Independent agency, or Establishment that is covered by this report.	2. U.S. Securities and	Exchange C	ommission
3. Enter the name, title, address, phone, fax, and e-mail address of the Senior Agency Official (as defined in E.O. 13526, section 5.4(d)) responsible for this report.	Bacy Walters, Director, Office of Suppose Operations 100 (Street NE, Warburgers DC 2005* (EV.C.) (EV.C.) Pace gas		
 Enter the name, title, phone, fax, and email address for the point-of-contact responsible for answering questions about this report. 	4. La Roy Washill, Special Security Wilson (h)(6) 17)(202) 772-(190 (b)(rec 604		
PART B: Officials with Original	Classification Authority		
5. Enter the number of agency officials whose highest level of original classifica	tion authority is TOP SECRET.	5.	0
6. Enter the number of agency officials whose highest level of original classifica	tion authority is SECRET.	6.	0
7. Enter the number of agency officials whose highest level of original classifica	tion authority is CONFIDENTIAL.	7.	0
8. Total number of officials with original classification authority. (Sum of block	s 5, 6, & 7)	8.	. 0
Original classification is an initial determination that the information to be classification to the classification to the classification control of the United States Government; (3) it falls into at least one of the catagorould reasonably be expected to result in damage to the national security. (Provide media, including those documented and disseminated via email. Do not coun	authority; (2) the information is owned by or ories from section 1.4 of E.O. 13526; and (4) to the information on all original classification du treproductions or copies.)	for, or is und manthorized cisions, rega	er the disclosure
 Enter the number of original TOP SECRET classification decisions made du declassification instructions of 10 years or less. 	ring the reporting period with	9.	0
10. Enter the number of original TOP SECRET classification decisions made d	luring the reporting period with	10.	0
declassification instructions ranging from over 10 years to 25 years. 11. Total number of TOP SECRET original classification decisions. (Sum of b	locks 9 & 10).	11.	0
12. Enter the number of original SECRET classification decisions made during instructions of 10 years or less.	the reporting period with declassification	12.	0
13. Enter the number of original SECRET classification decisions made during instructions ranging from over 10 years to 25 years.	the reporting period with declassification	13.	0
14. Total number of SECRET original classification decisions. (Sum of blacks	12 & 13)	14.	0
15. Enter the number of original CONFIDENTIAL classification decisions mad declassification instructions of 10 years or less.	de during the reporting period with	15.	0
16. Enter the number of original CONFIDENTIAL classification decisions madeclassification instructions ranging from over 10 years to 25 years.	de during the reporting period with	16.	0
17. Total number of CONFIDENTIAL original classification decisions. (Sum-	of blocks 15 & 16)	17.	0
18. Theat number of original classification decisions. (Sum of blocks 11, 14, &	17)	18.	0
PART D: Derivative Classification is the incorporating, paraphrasing, restating, or generate classification based on classification guides or other source documents. [Provide including those documented and disseminated via email. Do not count reproduct	eg in new form information that is already classification decisions, re	gardless of th	includes to modia,
19. Enter the number of derivative TOP SECRET classification decisions made	during the reporting period.	19.	0
20. Enter the number of derivative SECRET classification decisions made duris		20.	0
21. Enter the number of derivative CONFIDENTIAL classification decisions in	nade during the reporting period.	21.	0
22. Total number of derivative classification decisions. (Sum of blocks 19, 20, 8	٤21)	22.	0

PART E: Mandatory Declassification Review Requests and Appeals	
A "Request" is an individual initial review request or appeal, regardless of the number of documents or pages to be reviewed	as part of the request.
Report only requests for your agency in which your agency is responsible for the final decision.	
23. Enter the number of requests received during the reporting period.	23.
24. Enter the number of requests closed during the reporting period.	24.
25. Enter the number of requests that have been unresolved for over one year.	25.
26. Enter the average number of days to resolve each request.	26.
27. Enter the number of appeals received during the reporting period.	27.
28. Enter the number of appeals closed during the reporting period.	28.
29. Enter the number of appeals that have been unresolved for over one year.	29.
30. Enter the average number of days to resolve each appeal.	30.
31. Enter the number of referred requests received during the reporting period.	31.
32. Enter the number of referred appeals received during the reporting period.	32.
PART F: Mandatory Declassification Review Decisions in Pages	<u> </u>
33. Enter the number of requested pages that were declassified in full.	33.
34. Enter the number of requested pages that were declassified in part.	34.
35. Enter the number of requested pages that were denied declassification.	35.
36. Total number of requested pages acted on. (Sum of blocks 33, 34, & 35)	36.
37. Enter the number of appealed pages that were declassified in full.	37.
38. Enter the number of appealed pages that were declassified in part	38.
39. Enter the number of appealed pages that were denied declassification.	39.
40. Total number of appealed pages acted on. (Sum of blocks 37, 38, & 39)	40.
PART G: Automatic, Systematic, and Discretionary Declassification Reviews	
41. Enter the number of pages reviewed that were subject to automatic declassification under section 3.3 of E.O. 13526.	41.
42. Enter the number of pages declassified under automatic declassification.	42.
43. Enter the number of pages reviewed that were subject to systematic declassification under section 3.4 of E.O. 13526.	43,
44. Enter the number of pages declassified under systematic declassification.	44.
45. Enter the number of pages reviewed that were subject to discretionary declassification under section 3.1 of E.O. 13526.	45.
46. Enter the number of pages declassified under discretionary declassification.	46.
PART H: Internal Agency Oversight	
47. Enter the number of self-inspections conducted by your agency, covering any aspect of the security classification program, during the reporting period.	47.
48. Enter the number of challenges processed by your agency to the classification of information believed to be improperly classified or unclassified. (E.O. 12526, section 1.8)	48.
49. Enter the number of challenges where the classification status was fully affirmed.	49.
50. Enter the number of challenges where the classification status was everturned in whole or in part.	50.
51. Enter the number of security classification guides created by your agency and currently in use.	51.

PART 1: Explanatory Comments	
Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. P significant changes in trends/numbers from the previous year's report.	rovide explanations for any
U.S. Securities and Exchange Commission does not have Original Classification Authority.	
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For ISOO Use Only

ISOO Analyst Name:

Torope R. Taylor, Jr.

Date of QC:

24 NOV 2014

Analyst Initials:

AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA

(Submissions must be unclassified and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

PART A: Identifying	Information		
1. Enter the Fiscal Year that this report covers.		1.	2015
2. Identify the Department, Independent agency, or Establishment that is covered by this report.	2, United States Securities and Exchange Com	nmission	
3. Enter the name and title of the Senior Agency Official (as defined in E.O. 13526, section 5.4(d)) responsible for this report.	3. Barry Walters, Director, Office of Support	Operations	
4. Enter the name, title, phone, and email address for the point-of-contact responsible for answering questions about this report.	4. LeRoy A. Woodall, Special Security Office	r, (b)(6)	
PART B: Officials with Original (Classification Authority		
5. Enter the number of agency officials whose highest level of original classifica	tion authority is TOP SECRET.	5.	0
6. Enter the number of agency officials whose highest level of original classifica	tion authority is SECRET.	6.	0
7. Enter the number of agency officials whose highest level of original classifica	tion authority is CONFIDENTIAL.	7.	0
8. Total number of officials with original classification authority. (Sum of block		8.	0
PART C: Original Classification is an initial determination that the information to be classificated the following conditions: (1) it was classified by an original classification control of the United States Government; (3) it falls into at least one of the categorould reasonably be expected to result in damage to the national security. (Provide the media, including those documented and disseminated via email. Do not country.)	ted has not been previously classified by any authority; (2) the information is owned by or tries from section 1.4 of E.O. 13526; and (4) and information on all original classification deterproductions or copies.)	for, or is under manthorized d	the isclosure
 Enter the number of original TOP SECRET classification decisions made du declassification instructions of 10 years or less. 	ring the reporting period with	9.	0
10. Enter the number of original TOP SECRET classification decisions made d declassification instructions ranging from over 10 years to 25 years.	uring the reporting period with	10.	0
11. Total number of TOP SECRET original classification decisions. (Sum of b	locks 9 & 10).	11.	0
12. Enter the number of original SECRET classification decisions made during instructions of 10 years or less.	the reporting period with declassification	12.	0
13. Enter the number of original SECRET classification decisions made during instructions ranging from over 10 years to 25 years.	the reporting period with declassification	13.	0
14. Total number of SECRET original classification decisions. (Sum of blocks	12 & 13)	14.	0
15. Enter the number of original CONFIDENTIAL classification decisions mad declassification instructions of 10 years or less.	de during the reporting period with	15.	0
16. Enter the number of original CONFIDENTIAL classification decisions mad declassification instructions ranging from over 10 years to 25 years.	de during the reporting period with	16.	0
17. Total number of CONFIDENTIAL original classification decisions. (Sum	of blocks 15 & 16)	17.	0
18. Total number of original classification decisions. (Sum of blocks 11, 14, &	17)	18.	0
PART D: Derivative Classification is the incorporating, paraphrasing, restating, or generating classification based on classification guides or other source documents. (Provide including those documented and disseminated via email. Do not count reproductions are considered to the country of	g in new form information that is already classification decisions, re		
19. Enter the number of derivative TOP SECRET classification decisions made	during the reporting period.	19.	0
20. Enter the number of derivative SECRET classification decisions made during	ng the reporting period.	20,	0
21. Enter the number of derivative CONFIDENTIAL classification decisions n	nade during the reporting period.	21.	0
22. Total number of derivative classification decisions. (Sum of blocks 19, 20, &	2 21)	22.	0

PART E: Mandatory Declassification Review Requests and Appeals A "Request" is an individual initial review request or appeal, regardless of the number of documents or pages to be reviewed a Report only requests for your agency in which your agency is responsible for the final decision.	is part of the request.
23. Enter the number of requests received during the reporting period.	23.0
.24. Enter the number of requests closed during the reporting period.	24.0
25. Enter the number of requests that have been unresolved for over one year.	25.0
26. Enter the average number of days to resolve each request.	26.0
27. Enter the number of appeals received during the reporting period.	27.0
28. Enter the number of appeals closed during the reporting period.	28.0
29. Enter the number of appeals that have been unresolved for over one year.	29.0
30. Enter the average number of days to resolve each appeal.	30.0
31. Enter the number of referred requests received during the reporting period.	31.0
32. Enter the number of referred appeals received during the reporting period.	32.0
PART F: Mandatory Declassification Review Decisions in Pages	
33. Enter the number of requested pages that were declassified in full.	33.0
34. Enter the number of requested pages that were declassified in part.	34.0
35. Enter the number of requested pages that were denied declassification.	35. 0
36. Total number of requested pages acted on. (Sum of blocks 33, 34, & 35)	36. 0
37. Enter the number of appealed pages that were declassified in full.	37.0
38. Enter the number of appealed pages that were declassified in part.	38.0
39. Enter the number of appealed pages that were denied declassification.	39.0
40. Total number of appealed pages acted on. (Sum of blocks 37, 38, & 39)	40. 0
PART G: Automatic, Systematic, and Discretionary Declassification Reviews	
41. Enter the number of pages reviewed that were subject to automatic declassification under section 3.3 of E.O. 13526.	41.0
42. Enter the number of pages declassified under automatic declassification.	42.0
43. Enter the number of pages reviewed that were subject to systematic declassification under section 3.4 of E.O. 13526.	43.0
44. Enter the number of pages declassified under systematic declassification.	44.0
45. Enter the number of pages reviewed that were subject to discretionary declassification under section 3.1 of E.O. 13526.	45.0
46. Enter the number of pages declassified under discretionary declassification.	46.0
PART H: Internal Agency Oversight	
47. Enter the number of challenges processed by your agency to the classification of information believed to be improperly classified or unclassified. (E.O. 13526, section 1.8)	47. 0
48. Enter the number of challenges where the classification status was fully affirmed.	^{48.} 0
49. Enter the number of challenges where the classification status was overturned in whole or in part.	49.0

PART I: Explanatory Comments	
PART I: Explanatory Comments Is this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Possible in trends/numbers from the previous year's report.	rovide explanations for any
S. Securities and Exchange Commission does not have Original Classification Authority.	
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For ISOO Use Only	· ·
ISOO Analyst Name:	
Date of QC:	
Analyst Initials:	

AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA (Submissions must be unclassified and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

	PART A: Identif	ying Information		
1. Enter the Fiscal Year	r that this report covers.		^{1.} 2016	
2. Identify the Departr that is covered by this re	nent, Independent agency, or Establishment eport.	^{2.} SEC: Securities and Exchange Commission	n	
	itle of the Senior Agency Official (as defined 5.4(d)) responsible for this report.	3. Barry Walters, Director of OSO/Chief FOL	A Officer	
4. Point-of-contact res	ponsible for answering questions about this repor	ti		
4a. Name:	4a. LeRoy Woodall			
4b. Title:	^{4b.} Special Security Officer		·	
4c. Email address:	4c. (b)(6) @sec.gov			
4d. Phone number:	4d (b)(6)			
	PART B: Officials with Orig	ginal Classification Authority		
5. Enter the number of	agency officials whose highest level of original c	-	5.	N/A
6. Enter the number of	agency officials whose highest level of original c	lassification authority is SECRET.	6.	N/A
7. Enter the number of	agency officials whose highest level of original c	lassification authority is CONFIDENTIAL.	7.	N/A
8. Total number of offi	icials with original classification authority. (Sum	of blocks 5, 6, and 7)	8.	0
also meets the followin the control of the Uni disclosure could reason	g conditions: (1) it was classified by an original of ted States Government; (3) it falls into at least one tably be expected to result in damage to the nation	be classified has not been previously classified by an lassification authority; (2) the information is owned of the categories from section 1.4 of E.O. 13526; and lal security. (Provide information on all original class seminated via email. Do not count reproductions or	by or for, or nd (4) unaut ssification d	r is under horized
9. Enter the number of	original TOP SECRET classification decisions of 10 years or less.		9.	N/A
	f original TOP SECRET classification decisions ctions ranging from over 10 years to 25 years.	made during the reporting period with	10.	N/A
11. Total number of To	OP SECRET original classification decisions. (S	ourn of blocks 9 and 10)	11.	0
12. Enter the number o instructions of 10 year		during the reporting period with declassification	12.	N/A
	f original SECRET classification decisions made om over 10 years to 25 years.	during the reporting period with declassification	13.	N/A
14. Total number of SI	ECRET original classification decisions. (Sum of	blocks 12 and 13)	14.	0
	foriginal CONFIDENTIAL classification decisions of 10 years or less.	ions made during the reporting period with	15.	N/A
	foriginal CONFIDENTIAL classification decisions ranging from over 10 years to 25 years.	ions made during the reporting period with	16.	N/A
17. Total number of Co	ONFIDENTIAL original classification decisions	. (Sum of blocks 15 and 16)	17.	0
18. Total number of or	iginal classification decisions. (Sum of blocks 11	, 14, and 17)	18.	0

PART D: Derivative Classification Decisions Derivative classification is the incorporating, paraphrasing, restating, or generating in new form information that is alreated includes classification based on classification guides or other source documents. (Provide information on all classification of the media, including those documented and disseminated via small. Do not count reproductions or copied to the media of t	decisions, rega	
19. Enter the number of derivative TOP SECRET classification decisions made during the reporting period.	19.	0
20. Enter the number of derivative SECRET classification decisions made during the reporting period.	20.	16
21. Enter the number of derivative CONFIDENTIAL classification decisions made during the reporting period.	21.	0
22. Total number of derivative classification decisions. (Sum of blocks 19, 20, and 21)	22.	16
PART E: Mandatory Declassification Review Requests A "Request" is an individual initial review request, regardless of the number of documents or pages to be reviewed as page		uest.
23. Enter the number of REQUESTS received during the reporting period.	23.	0
24. Enter the number of REQUESTS closed during the reporting period.	24.	0
25. Of the REQUESTS entered into block 24, enter the number of pages that were:	25.	
a. Declassified in full.	25a.	0
b. Declassified in part,	25b.	0
c. Denied declassification.	25c.	0
d. Total number of requested pages acted on. (Sum of blocks 25a, 25b, and 25c)	25d.	0
26. Enter the number of REQUESTS that have been unresolved for over one year.	26.	0
27. Enter the AVERAGE NUMBER OF DAYS to resolve each request.	27.	0
28. Enter the number of REFERRED REQUESTS received during the reporting period. (Number of requests referred to your agency from another agency)	28.	0
PART F: Mandatory Declassification Review Appeals An "Appeal" is an individual request for appeal, regardless of the number of documents or pages to be reviewed as pa Report only appeals for your agency in which your agency is responsible for the final decision.	rt of the reque	est.
29. Enter the number of APPEALS received during the reporting period.	29.	0
30. Enter the number of APPEALS closed during the reporting period.	3D.	0
31. Of the APPEALS entered into block 30, enter the number of pages that were:	31.	
a. Declassified in full.	31a.	0
b. Declassified in part.	31b.	0
. c. Denied declassification,	31c.	0
d. Total number of appealed pages acted on. (Sum of blocks 31a, 31b, and 31c)	31d.	0
32. Enter the number of APPEALS that have been unresolved for over one year.	32.	0
33. Enter the AVERAGE NUMBER OF DAYS to resolve each appeal.	33.	0
34. Enter the number of REFERRED APPEALS received during the reporting period. (Number of appeals referred to your agency from another agency)	34.	0
Variablinia and mania abana)/		

13526. 36. Enter the number of pages DECLASSIFIED under automatic declassification. 3	35. 36.	0
13526. 36. Enter the number of pages DECLASSIFIED under automatic declassification. 37. Enter the number of pages REVIEWED that were subject to systematic declassification under section 3.4 of E.O. 38. Enter the number of pages REVIEWED that were subject to systematic declassification under section 3.4 of E.O.		
37. Enter the number of pages REVIEWED that were subject to systematic declassification under section 3.4 of E.O. 3	i 6 .	
57, 13mer the named of pages 115 113. ED and were broject to system the		0
	17. 	0
38. Enter the number of pages DECLASSIFIED under systematic declassification. 38. Enter the number of pages DECLASSIFIED under systematic declassification.	8.	Ó
39. Enter the number of pages REVIEWED that were subject to discretionary declassification under section 3.1 of E.O. 3 13526.	39.	O
	10.	O
PART H: Internal Agency Oversight		
41. Enter the number of CHALLENGES processed by your agency to the classification of information believed to be improperly classified or unclassified. (E.O. 13526, section 1.8)	1,	0
	12.	0
43. Enter the number of CHALLENGES where the classification status was overturned in whole or in part. 4	13.	0
This section applies ONLY to IC agencies and IC components of other agencies for inclusion in the ODNI annual report. If yo make a classified submission, please annotate that in Section J and send the data across the appropriate system. Enter the requested information regarding your organization's disseminated analytical product originally marked ORCON.		<u> </u>
	4.	N/A
45. Enter the TOTAL NUMBER of analytical product originally marked ORCON. 4	15.	N/A
46. Enter the NUMBER OF RELIEF REQUESTS approved for further dissemination of ORCON in full. 4	6.	N/A
47. Enter the NUMBER OF RELIEF REQUESTS approved for further dissemination of ORCON in part. Provide rationale for denial in Part J below.	17.	N/A
48. Enter the number of ORCON relief requests DENIED (provide explanation in Part J below).	8.	N/A
Enter the requested information on your organization's analytical product originally marked ORCON-USGOV.		
49. Enter the PERCENTAGE of analytical product originally marked ORCON-USGOV. 4	. 9.	N/A
50. Enter the TOTAL NUMBER of analytical product originally marked ORCON-USGOV.	0.	N/A
51. Enter the TOTAL NUMBER of reports of potential misapplication of the ORCON marking. Provide background information on each occurrence in Part 1 below.	51.	N/A
	^{52.} N/A	
Enter the requested information on your organization's Workforce Training.		
	33.	N/A
54. Provide the PERCENTAGE of your workforce that has completed ORCON/ORCON-USGOV specific training.	i4,	N/A

PART J: Explanatory Comments
Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report.
The SEC's Classified Computer Information Systems, Joint Worldwide Intelligence Communication System (JWICS) and Homeland Secure Data Network (HSDN) became fully operational in November 2015 and January 2016 respectively. Since the installation of the classified computer information systems our capability to apply derivative classification decisions has increased.
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UNITED STATES SECURITIES AND EXCHANGE COMMISSION WASHINGTON, D.C. 20549

October 25, 2017

MEMORANDUM:

Mark A. Bradley

Director, Information Security Oversight Office National Archives and Records Administration

FROM:

Barry Walters
Director, Office of Support Operations

SUBJECT:

Annual Agency Security Classification Management Program Data

This memorandum accompanies the United States Securities and Exchange Commission's (SEC's) Agency Security Classification Management Program Data. This memorandum and the accompanying enclosure constitute my submission as the Senior Agency Official's (SAO's) annual report to the Director of the Information Security Oversight Office (ISOO) on behalf of the SEC as required under E.O. 13526, "Classified National Security Information" (CNSI) and its implementing directive 32 CFR Part 2001.

I endorse the enclosure reporting the agency's statistics regarding security classification. The point of contact for this memorandum is LeRoy Woodall, Special Security Officer at asec.gov or (b)(6)

Enclosure: Agency Security Classification Management Program Data (SF 311)

AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA (Submissions must be unclassified and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

1. Enter the Fiscal Yea	r that this report covers.		^{1.} 2017
2. Identify the Departs that is covered by this re	nent, Independent agency, or Establishment cort.	2. SEC: Securities and Exchange Commission	1
	itle of the Senior Agency Official (as defined 5.4(d)) responsible for this report.	3. Barry Walters, Director of OSO/Chief FOL	A Officer
4. Point-of-contact res	ponsible for answering questions about this repor-	t:	
4a. Name:	^{4a.} LeRoy Woodall		
4b. Title:	^{4b.} Special Security Officer		
4c. Email address:	4c. (b)(6) @sec.gov		
4d. Phone number:	4d (b)(6)		
5. Enter the number of	agency officials whose highest level of original c	lassification authority is TOP SECRET.	5, N/A
6. Enter the number of	agency officials whose highest level of original c	lassification authority is SECRET.	6. N/A
7. Enter the number of	agency officials whose highest level of original c	lassification authority is CONFIDENTIAL.	7. N/A
8. Total number of offi	icials with original classification authority. (Sum	of blocks 5, 6, and 7)	8. 0
the comment of the limit	THE PERSON OF THE PERSON NAMED IN COLUMN TWO IS NOT THE OWNER.		
designate south results			artizateli decisions.
9. Enter the number of	original TOP SECRET classification decisions of 10 years or less.	made during the reporting period with	9. N/A
10. Enter the number of declassification instruc-	f original TOP SECRET classification decisions ranging from over 10 years to 25 years.	made during the reporting period with	10. · N/A
	OP SECRET original classification decisions. (S	oum of blocks 9 and 10)	11. 0
12. Enter the number of instructions of 10 year		during the reporting period with declassification	12. N/A
13. Enter the number o		during the reporting period with declassification	13. N/A
	ECRET original classification decisions. (Sum o	f blocks 12 and 13)	14. 0
15. Enter the number of declassification instru-	f original CONFIDENTIAL classification decis	ions made during the reporting period with	15. N/A
16. Enter the number o	f original CONFIDENTIAL classification decis ctions ranging from over 10 years to 25 years.	ions made during the reporting period with	16. N/A
	ONFIDENTIAL original classification decisions	s. (Sum of blocks 15 and 16)	17. 0
18. Total number of or	riginal classification decisions. (Sum of blocks 11	l. 14, and 17)	18. 0

19. Enter the number of derivative TOP SECRET classification decisions made during the reporting period.	19.	0
20. Enter the number of derivative SECRET classification decisions made during the reporting period.	20.	29
21. Enter the number of derivative CONFIDENTIAL classification decisions made during the reporting period.	21.	0
22. Total number of derivative classification decisions. (Sum of blocks 19, 20, and 21)	22.	29
23. Enter the number of REQUESTS received during the reporting period.	23.	0
24. Enter the number of REQUESTS closed during the reporting period.	24.	0
25. Of the REQUESTS entered into block 24, enter the number of pages that were:	25.	
a. Declassified in full.	25a.	0
b. Declassified in part.	25b.	0
c. Denied declassification.	25c.	0
d. Total number of requested pages acted on. (Sum of blocks 25a, 25b, and 25c)	25d.	. 0
26. Enter the number of REQUESTS that have been unresolved for over one year.	26.	0
27. Enter the AVERAGE NUMBER OF DAYS to resolve each request.	27.	0
28. Enter the number of REFERRED REQUESTS received during the reporting period. (Number of requests referred to your agency from another agency)	28.	0
29. Enter the number of APPEALS received during the reporting period.	29.	0
30. Enter the number of APPEALS closed during the reporting period.	30.	0
31. Of the APPEALS entered into block 30, enter the number of pages that were:	31.	
a. Declassified in fult.	31a.	0
b. Declassified in part.	316.	0
c. Denied declassification.	31c.	0
d. Total number of appealed pages acted on. (Sum of blocks 31a, 31b, and 31c)	31d.	0
32. Enter the number of APPEALS that have been unresolved for over one year.	32.	0
33. Enter the AVERAGE NUMBER OF DAYS to resolve each appeal.	33.	C
34. Enter the number of REFERRED APPEALS received during the reporting period. (Number of appeals referred to your agency from another agency)	34.	0

	Chillian Calls	F.D. 715
35. Enter the number of pages REVIEWED that were subject to automatic declassification under section 3.3 of E.O. 13526.	35.	0
36. Enter the number of pages DECLASSIFIED under automatic declassification.	36.	0
37. Enter the number of pages REVIEWED that were subject to systematic declassification under section 3.4 of E.O. 13526.	37.	0
38. Enter the number of pages DECLASSIFIED under systematic declassification.	38.	0
39. Enter the number of pages REVIEWED that were subject to discretionary declassification under section 3.1 of E.O. 13526.	39.	0
40. Enter the number of pages DECLASSIFIED under discretionary declassification.	40.	0
41. Enter the number of CHALLENGES processed by your agency to the classification of information believed to be improperly classified or unclassified. (E.O. 13526, section 1.8)	41.	0
42. Enter the number of CHALLENGES where the classification status was fully affirmed.	42.	C
43. Enter the number of CHALLENGES where the classification status was overturned in whole or in part.	43.	C
In a section applies 1981 / to [C agencies and] if woodness of other perspectors accurate in the Giffs and a sub- instruction applies 1981 / to [C agencies and] if woodness of other perspectors accurate in the Giffs and a sub- mater a classified submission person and in Section and an abstract and section and secti		
ADCON		
ORCON. 44. Enter the PERCENTAGE of analytical product originally marked ORCON.	44.	N/A
	44.	
44. Enter the PERCENTAGE of analytical product originally marked ORCON.		N/A
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 44. Enter the PERCENTAGE of analytical product originally marked ORCON. 45. Enter the TOTAL NUMBER of analytical product originally marked ORCON. 46. Enter the NUMBER OF RELIEF REQUESTS approved for further dissemination of ORCON in full. 	45. 46.	N/A N/A
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 Enter the PERCENTAGE of analytical product originally marked ORCON. Enter the TOTAL NUMBER of analytical product originally marked ORCON. Enter the NUMBER OF RELIEF REQUESTS approved for further dissemination of ORCON in full. Enter the NUMBER OF RELIEF REQUESTS approved for further dissemination of ORCON in part. Provide rationale for denial in Part J below. Enter the number of ORCON relief requests DENIED (provide explanation in Part J below). Enter the requested information on your organization's analytical product originally marked ORCON-USGOV. 	45. 46. 47.	N/A N/A N/A
 44. Enter the PERCENTAGE of analytical product originally marked ORCON. 45. Enter the TOTAL NUMBER of analytical product originally marked ORCON. 46. Enter the NUMBER OF RELIEF REQUESTS approved for further dissemination of ORCON in full. 47. Enter the NUMBER OF RELIEF REQUESTS approved for further dissemination of ORCON in part. Provide rationale for denial in Part J below. 	45. 46. 47. 48.	N/A N/A N/A
 Enter the PERCENTAGE of analytical product originally marked ORCON. Enter the TOTAL NUMBER of analytical product originally marked ORCON. Enter the NUMBER OF RELIEF REQUESTS approved for further dissemination of ORCON in full. Enter the NUMBER OF RELIEF REQUESTS approved for further dissemination of ORCON in part. Provide rationale for denial in Part J below. Enter the number of ORCON relief requests DENIED (provide explanation in Part J below). Enter the requested information on your organization's analytical product originally marked ORCON-USGOV. Enter the PERCENTAGE of analytical product originally marked ORCON-USGOV. Enter the TOTAL NUMBER of analytical product originally marked ORCON-USGOV. Enter the TOTAL NUMBER of reports of potential misapplication of the ORCON marking. Provide background 	45. 46. 47. 48.	N/A N/A N/A N/A N/A
44. Enter the PERCENTAGE of analytical product originally marked ORCON. 45. Enter the TOTAL NUMBER of analytical product originally marked ORCON. 46. Enter the NUMBER OF RELIEF REQUESTS approved for further dissemination of ORCON in full. 47. Enter the NUMBER OF RELIEF REQUESTS approved for further dissemination of ORCON in part. Provide rationals for denial in Part J below. 48. Enter the number of ORCON relief requests DENIED (provide explanation in Part J below). Enter the requested information on your organization's analytical product originally marked ORCON-USGOV. 49. Enter the PERCENTAGE of analytical product originally marked ORCON-USGOV. 50. Enter the TOTAL NUMBER of analytical product originally marked ORCON-USGOV. 51. Enter the TOTAL NUMBER of reports of potential misapplication of the ORCON marking. Provide background information on each occurrence in Part J below. 52. Has your organization been UNABLE TO RECEIVE OR SHARE INFORMATION in the performance of its	45. 46. 47. 48. 49. 50.	N/A N/A N/A N/A
44. Enter the PERCENTAGE of analytical product originally marked ORCON. 45. Enter the TOTAL NUMBER of analytical product originally marked ORCON. 46. Enter the NUMBER OF RELIEF REQUESTS approved for further dissemination of ORCON in full. 47. Enter the NUMBER OF RELIEF REQUESTS approved for further dissemination of ORCON in part. Provide rationale for denial in Part J below. 48. Enter the number of ORCON relief requests DENIED (provide explanation in Part J below). Enter the requested information on your organization's analytical product originally marked ORCON-USGOV. 49. Enter the PERCENTAGE of analytical product originally marked ORCON-USGOV. 50. Enter the TOTAL NUMBER of analytical product originally marked ORCON-USGOV. 51. Enter the TOTAL NUMBER of reports of potential misapplication of the ORCON marking. Provide background information on each occurrence in Part J below. 52. Has your organization been UNABLE TO RECEIVE OR SHARE INFORMATION in the performance of its mission due to ORCON or ORCON-USGOV? If yes, explain in Part J below.	45. 46. 47. 48. 49. 50.	N/A N/A N/A N/A
 Enter the PERCENTAGE of analytical product originally marked ORCON. Enter the TOTAL NUMBER of analytical product originally marked ORCON. Enter the NUMBER OF RELIEF REQUESTS approved for further dissemination of ORCON in full. Enter the NUMBER OF RELIEF REQUESTS approved for further dissemination of ORCON in part. Provide rationale for denial in Part J below. Enter the number of ORCON relief requests DENIED (provide explanation in Part J below). Enter the requested information on your organization's analytical product originally marked ORCON-USGOV. Enter the PERCENTAGE of analytical product originally marked ORCON-USGOV. Enter the TOTAL NUMBER of analytical product originally marked ORCON-USGOV. Enter the TOTAL NUMBER of reports of potential misapplication of the ORCON marking. Provide background 	45. 46. 47. 48. 49. 50.	N/A N/A N/A N/A

	Use this space to elaborate on a any significant changes in trend	ony section of this form. I	f more space is need ous year's report.	ment to this form. Pro	vide explanations for
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